

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

IN RE HELIOS AND MATHESON
ANALYTICS, INC. SECURITIES
LITIGATION.

18-cv-6965 (JGK)

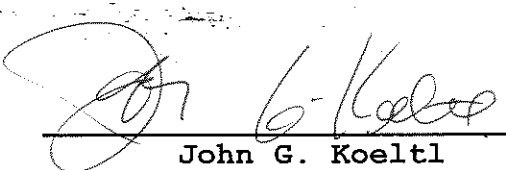
ORDER

JOHN G. KOELTL, District Judge:

The Court received the attached correspondence regarding a notice of a rejected Proof of Claim. The plaintiffs are directed to file a response to the attached correspondence by December 27, 2021.

SO ORDERED.

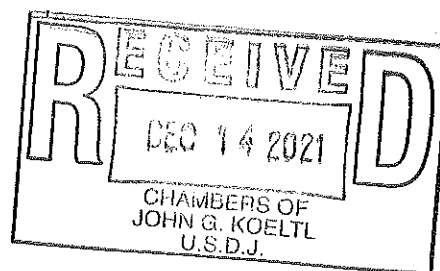
Dated: New York, New York
December 14, 2021



John G. Koeltl
United States District Judge

Paul O'Malley
PO Box 2427
Avila Beach, CA 93424

December 10, 2021



Hon. John G. Koeltl
District Judge
Daniel Patrick Moynihan
United States Courthouse
500 Pearl Street
New York, NY 10007-1312

Honorable Judge Koeltl,

This letter is a request that the Court review the full rejection of my claim #P5FBJY9HT7 for the Helios and Matheson Analytics, Inc. Securities Litigation.

Using the JND Legal Administration website on April 2, 2021, I supplied all requested documentation evidencing my purchase of Helios and Matheson Analytics Inc. stock on the following dates:

May 24, 2018 2,000 shares at \$0.4586/share for \$917.20 plus \$2 comm = \$919.20
June 6, 2018 250 shares at \$0.34/share for \$85.00 plus \$2 comm = \$87.00
June 25, 2018 400 shares at \$0.28/share for \$112.00 plus \$2 comm = \$114.00

Total purchases \$1,114.20 plus \$6 comm = \$1,120.20

After all reverse splits of the Helios stock, I was left with 11 shares. I supplied all requested documentation evidencing my sale of Helios and Matheson Analytics Inc. stock:

August 1, 2018 11 shares at \$0.26/share for \$2.85 plus \$2 comm = \$0.85

Total sale of shares \$2.85 plus \$2 comm = \$0.85

I showed evidence of a loss of \$1,111.35 plus \$8 comm = \$1,119.35

Enclosed you will find the same documentation that was requested and was filed.

On December 8, 2021, I received the enclosed email stating that my Proof of Claim and Release submitted "did not calculate to a Recognized Loss in accordance with the Court-approved Plan of Allocation".


Paul O'Malley

Enclosures



Paul O'Malley <pnomalley@gmail.com>

In re Helios and Matheson Analytics, Inc. Securities Litigation (Claim # P5FBJY9HT7)

1 message

info@heliosandmathesonsecuritieslitigation.com
<info@heliosandmathesonsecuritieslitigation.com>
To: pnomalley@gmail.com

Wed, Dec 8, 2021 at 8:56
AM

Dear Claimant:

We have received and processed the Proof of Claim and Release form submitted in the above-referenced matter. The claim, as submitted, did not calculate to a Recognized Loss in accordance with the Court-approved Plan of Allocation and is therefore, ineligible to receive a payment from the Settlement Fund.

You can resolve this condition of ineligibility only by submitting additional purchase transactions of Helios Common Stock during the Class Period, i.e., from August 15, 2017, and July 26, 2018, inclusive, that were not previously reflected in your Claim. You must also support any additional transactions with acceptable documentation.

If you disagree with how the Court-approved Plan of Allocation was applied to the claim, you may request Court review of our administrative determination. To request Court review, you must reply no later than 20 days from the date of this email. Your reply must: (1) specifically state that you "request that the Court review the full rejection of your Claim"; (2) state your argument(s) for why you are contesting the full rejection of the Claim; and (3) include all documentation supporting your arguments.

Please let us know if you have any questions.

Regards,

Claims Administrator
Helios and Matheson Securities Litigation
www.HeliosAndMathesonSecuritiesLitigation.com
(833) 707-1451

[unsubscribe](#)

CASE 18-cv-06965-JGK

4/2/2021

Transaction history details

My accounts Balances & holdings Account activity: Transaction history

Buy HELIOS AND MATHESON ANALYTICS INC

Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account—75895222

Transaction information

Settlement date	05/29/2018
Trade date	05/24/2018
Transaction type	Buy
Transaction description	Buy
Quantity	2,090.0000
Price	\$0.46
Principal amount	-- \$917.20
Total fees and commissions	\$2.00
Total amount	-- \$919.20
Account name/number	Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account— 75895222
Holding name	HELIOS AND MATHESON ANALYTICS INC
Ticker symbol	HMNY
Account type	Margin
Commission	\$2.00
Additional description	HELIOS AND MATHESON ANALYTICS INC
Accrued interest	\$0.00

Note on account protection: Vanguard Brokerage Account assets are held by Vanguard Marketing Corporation, a registered broker-dealer, member FINRA and SIPC. [Account protection](#)

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4/2/2021

Transaction history details

My accounts Balances & holdings Account activity: Transaction history

Buy HELIOS AND MATHESON ANALYTICS INC

Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account—75895222

Transaction information

Settlement date	06/08/2018
Trade date	06/08/2018
Transaction type	Buy
Transaction description	Buy
Quantity	250.0000
Price	\$0.34
Principal amount	-- \$85.00
Total fees and commissions	\$2.00
Total amount	-- \$87.00
Account name/number	Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account— 75895222
Holding name	HELIOS AND MATHESON ANALYTICS INC
Ticker symbol	HMNY
Account type	Margin
Commission	\$2.00
Additional description	HELIOS AND MATHESON ANALYTICS INC
Accrued interest	\$0.00

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4/2/2021

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Buy HELIOS AND MATHESON ANALYTICS INC

Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account—75895222

Transaction information

Settlement date	06/27/2018
Trade date	06/26/2018
Transaction type	Buy
Transaction description	Buy
Quantity	400.0000
Price	\$0.28
Principal amount	-- \$112.00
Total fees and commissions	\$2.00
Total amount	-- \$114.00
Account name/number	Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account— 75895222
Holding name	HELIOS AND MATHESON ANALYTICS INC
Ticker symbol	HMNY
Account type	Margin
Commission	\$2.00
Additional description	HELIOS AND MATHESON ANALYTICS INC
Accrued interest	\$0.00

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4/2/2021

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Sell HELIOS & MATHESON ANALYTICS INC PAR \$0.01

Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account—75895222

Transaction information

Settlement date	08/03/2018
Trade date	08/01/2018
Transaction type	Sell
Transaction description	Sell
Quantity	- 11.8090
Price	\$0.26
Principal amount	\$2.85
Total fees and commissions	\$2.00
Total amount	\$0.85
Account name/member	Paul T. O'Malley, Nancy L. O'Malley—Brokerage Account— 75895222
Holding name	HELIOS & MATHESON ANALYTICS INC PAR \$0.01
Ticker symbol	HMMY
Account type	Margin
Commission	\$2.00
Additional description	HELIOS & MATHESON ANALYTICS INC PAR \$0.01
Accrued interest	\$0.00

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Do Not Use For Account Transactions
PO BOX 3009
MONROE, WI 53566-8309

PAUL T O'MALLEY &
NANCY L O'MALLEY
JT TEN WROS
PO BOX 2427
AVILA BEACH CA 93424-2427

December 31, 2018, year-to-date statement
View your statements online at vanguard.com.

Vanguard Flagship Services®

Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Assets listed in this statement are held by Vanguard Brokerage Services® (VBS), a division of Vanguard Marketing Corporation (VMC), member FINRA and SIPC. Summary data are provided solely as a service and are for informational purposes only.



Joint brokerage account—75895222

Paul T. O'Malley & Nancy L. O'Malley
Jt Ten WROS

Vanguard Flagship Services®
Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Account overview

\$444,509.52
Total account value as of December 31, 2018

Activity summary

Value on December 31, 2017	\$739,953.76
Purchases and withdrawals	-289,442.56
Market appreciation/depreciation	-14,946.69
Dividends, interest, and capital gains	8,945.01
Value on December 31, 2018	\$444,509.52

Cost basis summary (all investments)

Realized gain/loss	
2018 short-term	-\$8,422.09
2018 long-term	10,166.59
Unrealized gain/loss	51,127.64

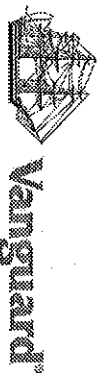
Year-to-date income

Taxable income	\$8,945.01
Nontaxable income	0.00
Total	\$8,945.01

Balances and holdings for Vanguard Brokerage Account—75895222

Your securities are held in your margin account, unless otherwise noted. This section only shows securities that were held in the account at the end of the time period indicated.

December 31, 2018, year-to-date statement



Joint brokerage account—75895222

Vanguard Flagship Services®

Paul T. O'Malley & Nancy L. O'Malley
Jt Ten WROS

Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Account activity for Vanguard Brokerage Account—75895222

This section shows trades that have settled by December 31, 2018.

Income summary

	Dividends	Interest	Tax-exempt interest	Short-term capital gains	Long-term capital gains	Other income
December	\$1,019.39	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Year-to-date	8,945.01	0.00	0.00	0.00	0.00	0.00

Completed transactions

Settlement date	Trade date	Symbol	Name	Transaction type	Account type	Quantity	Price	Commissions & fees	Amount
12/04	12/04	V	VISA INC CL A	Dividend	-	-	-	-	\$18.14
12/04	12/04	V	VISA INC CL A	Reinvestment	Margin	0.1270	\$143.1350	-	-18.14
12/05	12/03	TSLA	TESLA INC	Sell	Margin	-8.0000	355.0000	\$2.04	2,917.96
12/06	12/06	-	ACH DIRECT DEPOSIT CHASE BANK, NA *****2525	Withdrawal	-	-	-	-	-30,000.00
12/06	12/06	-	VANGUARD FEDERAL MONEY MARKET FUND	Sweep out	-	-	-	-	27,082.04
12/10	12/10	TGT	TARGET CORP	Dividend	-	-	-	-	26.50
12/10	12/10	TGT	TARGET CORP	Reinvestment	Margin	0.3900	67.9240	-	-26.50
12/12	12/10	BHC	BAUSCH HEALTH COMPANIES INC	Buy	Margin	15.0000	22.9000	2.00	-345.50
12/12	12/12	-	VANGUARD FEDERAL MONEY MARKET FUND	Sweep out	-	-	-	-	345.50

December 31, 2018, year-to-date statement



Joint brokerage account—75895222

Vanguard Flagship Services®

Paul T. O'Malley & Nancy L. O'Malley

Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Jr Ten WROS

Balances and holdings for Vanguard Brokerage Account—75895222 continued

Stocks		Total cost	Quantity	Price on 12/31/2018	Balance on 12/31/2017	Balance on 12/31/2018
Symbol	Name					
ACN	ACCENTURE PLC IRELAND CLASS A NEW	\$10,148.90	65.5930	\$141.0100	-	\$9,249.26
	Est. annual income: \$191.59; Est. yield: 2.07%					
AGN	ALLERGAN PLC	1,632.16	11.0140	133.6600	-	1,472.13
	Est. annual income: \$31.72; Est. yield: 2.15%					
GOOGL	ALPHABET INC CL A	19,325.51	22.0000	1,044.9600	23,174.80	22,989.12
AMZN	AMAZON.COM INC	19,894.03	24.0000	1,501.9700	29,236.75	36,047.28
BHC	BAUSCH HEALTH COMPANIES INC	25,605.83	1,500.0000	18.4700	-	27,705.00
CEIG	CELSENE CORP	1,270.25	17.0000	64.0900	-	1,089.53
COST	COSTCO WHOLESALE CORP	4,296.00	19.0000	203.7100	-	3,870.49
	Est. annual income: \$43.32; Est. yield: 1.12%					
DHR	DANAHER CORP	10,693.06	131.6150	103.1200	12,142.06	13,572.13
	Est. annual income: \$84.23; Est. yield: 0.62%					
JPM	JPMORGAN CHASE & CO	19,357.49	225.6510	97.6200	28,499.40	22,028.05
	Est. annual income: \$722.08; Est. yield: 3.28%					
MU	MICRON TECHNOLOGY INC	2,834.00	75.0000	31.7300	-	2,379.75
MB	MINDBODY INC CL A	238.70	7.0000	36.4000	213.15	254.80

December 31, 2018, year-to-date statement



Joint brokerage account—75895222

Vanguard Flagship Services®

Paul T. O'Malley & Nancy L. O'Malley
Jt Ten WROS

Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Account activity for Vanguard Brokerage Account—75895222 continued

Completed transactions continued									
Settlement date	Trade date	Symbol	Name	Transaction type	Account type	Quantity	Price	Commissions & fees	Amount
12/21	12/21	-	VANGUARD FEDERAL MONEY MARKET FUND	Sweep out	-	-	-	-	1,105.00
12/24	12/20	RTN	RAYTHEON COMPANY NEW	Buy	Margin	10.0000	156.1500	2.00	-1,563.50
12/24	12/24	-	VANGUARD FEDERAL MONEY MARKET FUND	Sweep out	-	-	-	-	1,563.50
12/26	12/21	BHC	BAUSCH HEALTH COMPANIES INC	Buy	Margin	100.0000	18.0100	2.00	-1,803.00
12/26	12/26	-	ACH DIRECT DEPOSIT CHASE BANK, NA *****2525	Withdrawal	-	-	-	-	-1,500.00
12/26	12/26	-	VANGUARD FEDERAL MONEY MARKET FUND	Sweep out	-	-	-	-	3,303.00
12/28	12/28	VTI	VANGUARD TOTAL STOCK MARKET ETF	Dividend	-	-	-	-	747.93
12/28	12/28	VTI	VANGUARD TOTAL STOCK MARKET ETF	Reinvestment	Margin	5.8760	127.2780	-	-747.93
12/31	12/31	-	VANGUARD FEDERAL MONEY MARKET FUND	Dividend	-	-	-	-	60.66
12/31	12/31	-	VANGUARD FEDERAL MONEY MARKET FUND	Reinvestment	-	-	-	-	-60.66

If you had an adjustment to a dividend or interest payment from a previous month, the monthly amount shown under the Income Summary section of your brokerage statement may be overstated.

December 31, 2018, year-to-date statement



Joint brokerage account—75895222

Paul T. O'Malley & Nancy L. O'Malley
Jt Ten WROS

Vanguard Flagship Services®
Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Realized gains and losses

You can get cost basis information for both realized and unrealized gains and losses for your Vanguard account at vanguard.com.

Some or all of this information may be reported to the IRS on Form 1099-B Proceeds from Broker and Barter Exchange Transactions. Vanguard provides cost basis information using the average cost method for mutual funds and first in, first out for other holdings, unless you've selected another method. You may want to consult a tax advisor to determine the appropriate method for you. Certain adjustments may change the basis we're currently reporting to you. In that event, we'll send you revised realized gain and loss information. A dash indicates the information on our system was incomplete at the time this document was generated. See IRS Publication 550 (Investment Income and Expenses) for additional information.

Mutual funds

VANGUARD INTERMEDIATE TERM CORP BOND INDEX (VICSX)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/loss
Short-term	03/01	656.000	\$15,009.28	\$15,362.57	-\$353.29	\$37.35	-\$315.94
Long-term	03/01	0.000	0.00	0.00	0.00	0.00	0.00
Short-term	05/23	702.808	\$15,785.07	\$16,465.68	-\$680.61	\$21.58	-\$659.03
Long-term	05/23	0.000	0.00	0.00	0.00	0.00	0.00
Short-term	07/19	722.509	\$16,335.93	\$16,921.24	-\$585.31	\$0.00	-\$585.31
Long-term	07/19	0.000	0.00	0.00	0.00	0.00	0.00
Short-term	08/06	886.000	\$19,992.15	\$20,725.41	-\$733.26	\$0.00	-\$733.26
Long-term	08/06	0.000	0.00	0.00	0.00	0.00	0.00
Short-term	09/06	445.000	\$10,061.45	\$10,421.25	-\$359.80	\$0.00	-\$359.80
Long-term	09/06	0.000	0.00	0.00	0.00	0.00	0.00
Short-term	09/25	5,171.733	\$116,105.41	\$121,095.28	-\$4,989.87	\$0.00	-\$4,989.87
Long-term	09/25	0.000	0.00	0.00	0.00	0.00	0.00
Total short-term	Various	8,583.056	\$183,289.29	\$200,991.43	-\$7,702.14	\$58.93	-\$7,643.21
Total long-term	Various	0.000	0.00	0.00	0.00	0.00	0.00

December 31, 2018, year-to-date statement



Joint brokerage account—75895222

Paul T. O'Malley & Nancy L. O'Malley
Jt Ten WROSVanguard Flagship Services®
Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144**Realized gains and losses** continued**Stocks****EBAY INC (EBAY)**

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	05/24	0.000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Long-term	05/24	50.000	1,894.53	1,653.50	241.03	0.00	241.03
Short-term	05/29	125.000	\$4,692.44	\$4,569.68	\$122.76	\$0.00	\$122.76
Long-term	05/29	75.000	2,815.46	2,392.75	422.71	0.00	422.71
Short-term	06/21	0.000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Long-term	06/21	200.000	7,627.90	5,221.00	2,406.90	0.00	2,406.90
Total short-term	Various	125.000	\$4,692.44	\$4,569.68	\$122.76	\$0.00	\$122.76
Total long-term	Various	325.000	12,337.89	9,267.25	3,070.64	0.00	3,070.64

FORTIVE CORP (FTV)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	08/20	44.464	\$3,596.43	\$3,175.00	\$421.43	\$0.00	\$421.43
Long-term	08/20	90.100	7,287.66	5,002.70	2,284.96	0.00	2,284.96

GENERAL ELECTRIC CO (GE)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	11/05	40.393	\$361.73	\$486.00	-\$104.27	\$0.00	-\$104.27
Long-term	11/05	0.000	0.00	0.00	0.00	0.00	0.00

December 31, 2018, year-to-date statement



Joint brokerage account—75895222

Vanguard Flagship Services®

Paul T. O'Malley & Nancy L. O'Malley
Jt Ten WROS

Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Realized gains and losses continued

PROCTER & GAMBLE CO (PG)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	09/06	0.590	\$47.90	\$45.37	\$2.53	\$0.00	\$2.53
Long-term	09/06	21.171	1,748.45	1,876.18	-127.73	0.00	-127.73

RITE AID CORP (RAD)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	03/09	1,750.000	\$3,050.71	\$3,826.65	-\$775.94	\$0.00	-\$775.94
Long-term	03/09	0.000	0.00	0.00	0.00	0.00	0.00

TORO CO (TTC)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	06/14	11.847	\$732.57	\$873.54	-\$140.97	\$0.00	-\$140.97
Long-term	06/14	138.153	8,542.81	8,474.98	67.83	0.00	67.83
Short-term	06/14	5.000	\$309.25	\$353.23	-\$43.98	\$0.00	-\$43.98
Long-term	06/14	0.000	0.00	0.00	0.00	0.00	0.00
Short-term	06/14	0.000	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Long-term	06/14	9.064	559.50	545.74	13.76	0.00	13.76
Total short-term	06/14	16.847	\$1,041.82	\$1,226.77	-\$184.95	\$0.00	-\$184.95
Total long-term	06/14	147.217	9,102.31	9,020.72	81.59	0.00	81.59

TWITTER INC (TWTR)

Term	Date sold	Quantity	Proceeds	Total cost	Gain/Loss	Disallowed loss	Total gain/ Allowable loss
Short-term	09/07	160.000	\$4,862.70	\$5,719.75	-\$857.05	\$0.00	-\$857.05
Long-term	09/07	100.000	3,039.20	1,690.45	1,348.75	0.00	1,348.75

December 31, 2018, year-to-date statement



Vanguard Flagship Services®

Janet A. Basagic, Registered Representative: 800-345-1344, Ext. 7144

Disclosures

Cost basis information

Vanguard is required to report cost basis information to the IRS for sales of covered securities in taxable (nonretirement) accounts. Covered securities are generally stock or mutual funds acquired on or after January 1, 2011 and 2012, respectively. Unless you select another method, we'll use the "first in, first out" (FIFO) accounting method for sales of stocks and exchange-traded funds (ETFs) and the "average cost" method for sales of mutual funds.

Gain or loss. The gain or loss realized by the sale or redemption, calculated by subtracting the cost from the proceeds. Gains and losses are generally short-term if the security was held a year or less, and long-term if held more than a year.

For our brokerage clients

Your brokerage cash and/or securities are held in custody by Vanguard Brokerage Services, a division of Vanguard Marketing Corporation, member FINRA and SIPC. Vanguard funds not held through your Vanguard Brokerage Services (VBS) account are held by The Vanguard Group, Inc., and are not protected by SIPC.

I. General information and key terms

Advice. Vanguard Brokerage Services doesn't provide tax, investment, or legal advisory services, and no one associated with Vanguard Brokerage Services is authorized to render such advice.

Direct Participation Program (DPP) and Real Estate Investment Trust (REIT). DPP and REIT securities are generally illiquid. The value of the security will be different than its purchase price. Any estimated value on your statement may not be realized when you seek to liquidate the security.

Financial statement. A Vanguard Brokerage financial statement is available for your inspection at any time upon request to Vanguard Brokerage Services.

Free credit balance. Any free credit balance carried for your account represents funds payable on demand, which, although properly accounted for on Vanguard Brokerage's books of record, aren't segregated and may be used in the conduct of its business to the extent permitted by law. Funds in your money market settlement fund may be liquidated upon your request and the proceeds remitted to you.

Dividend reinvestment. When reinvesting dividends of eligible stocks, ETFs, and closed-end funds, Vanguard Brokerage Services combines cash distributions from the accounts of all clients who have

requested reinvestment in the same security, and then uses that combined total to purchase additional shares of the security in the open market. The new shares are divided proportionately among the clients' accounts, in whole and fractional shares rounded to four decimal places. If the total purchase can't be completed in one trade, clients will receive shares purchased at the weighted average price paid by Vanguard Brokerage Services. Participants in our free dividend reinvestment program should refer to the "Completed transactions" area of the "Account activity for Vanguard Brokerage Account" section of their Vanguard statements for details of transaction history and dates.

For dividend reinvestment of mutual funds held in your brokerage account, the instructions are provided to the fund and the "settlement date" and "trade date" on your statement will generally represent the day the transaction is entered in your account record. Call Vanguard Brokerage Services with any questions.

Reporting brokerage account discrepancies. Promptly report in writing any inaccuracies or discrepancies in your Vanguard Brokerage account (including unauthorized trading) to Vanguard Brokerage Services. Any oral communication must be confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.

Margin accounts. If you maintain a margin account, this is a combined statement of your general account and a special memorandum account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection upon request to Vanguard Brokerage Services. All securities must be held in your margin account. Note that purchases of open-end mutual funds and Vanguard ETFs® will settle in your cash account and after 30 days be moved into your margin account.

Money market fund transactions. Vanguard Brokerage Services may elect to send a monthly statement, in lieu of an immediate confirmation, for transactions executed pursuant to a periodic plan or an investment company plan, or executed in shares of any open-end registered money market mutual fund.

Orphaned fractional share transactions. Vanguard Brokerage Services may elect to send a monthly statement, in lieu of an immediate confirmation, for transactions executed to liquidate orphaned fractional share positions. Orphaned fractional share positions are fractional share positions held without a corresponding whole share position. Liquidations of these positions are executed by Vanguard Brokerage Services on a principal basis at the previous day's closing price, and the proceeds are credited to your account. No transaction fee is charged.

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